A/63/34

United Nations

Report of the Joint Inspection Unit for 2008 and programme of work for 2009

General Assembly
Official Records
Sixty-third Session
Supplement No. 34

General Assembly
Official Records
Sixty-third Session
Supplement No. 34

Report of the Joint Inspection Unit for 2008 and programme of work for 2009

United Nations • New York, 2009

Note

Symbols of United Nations documents are composed of capital letters combined with figures. Mention of such a symbol indicates a reference to a United Nations document.

ISSN 0255-1969

[23 January 2009]

Contents

Chapter		*Paragraphs*	*Page*
	Abbreviations		iv
	Mission statement		v
	Preface by the Chairman		vi
I.	Annual report for 2008	1–131	1
	A. Reform of the Joint Inspection Unit	1–12	1
	B. Implementation of the programme of work for 2008	13–14	2
	C. Reports issued in 2008	15–39	2
	D. Interaction with participating organizations	40–45	8
	E. Follow-up to recommendations	46–85	8
	F. Relationships with other oversight and coordinating bodies	86–93	18
	G. The new Joint Inspection Unit strategic framework: a results-based management approach	94–105	19
	H. Resources	106–119	21
	I. Appointment of the Executive Secretary	120–130	23
	J. Other administrative issues	131	25
II.	Programme of work for 2009	132–166	26
Annexes			
I.	Composition of the Joint Inspection Unit		32
II.	List of participating organizations and their percentage share in the costs of the Joint Inspection Unit in 2008		33
III.	Joint Inspection Unit strategic framework for 2010-2019		34

Abbreviations

CEB	United Nations System Chief Executives Board for Coordination
FAO	Food and Agriculture Organization of the United Nations
IAEA	International Atomic Energy Agency
ICAO	International Civil Aviation Organization
ICT	information and communications technology
ILO	International Labour Organization
IMO	International Maritime Organization
IT	information technology
ITU	International Telecommunication Union
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UN-Habitat	United Nations Human Settlements Programme
UNHCR	Office of the United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNIDO	United Nations Industrial Development Organization
UNIFIL	United Nations Interim Force in Lebanon
UNODC	United Nations Office on Drugs and Crime
UNOPS	United Nations Office for Project Services
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
UPU	Universal Postal Union
UNTSO	United Nations Truce Supervision Organization
UNWTO	United Nations World Tourism Organization
WFP	World Food Programme
WHO	World Health Organization
WIPO	World Intellectual Property Organization
WMO	World Meteorological Organization

Mission statement

As the only independent external oversight body of the United Nations system mandated to conduct evaluations, inspections and investigations system-wide, the Joint Inspection Unit aims:

(a) To assist the legislative organs of the participating organizations in meeting their governance responsibilities in respect of their oversight function concerning management by the secretariats of human, financial and other resources;

(b) To help improve the efficiency and effectiveness of the respective secretariats in achieving the legislative mandates and the mission objectives established for the organizations;

(c) To promote greater coordination among the organizations of the United Nations system;

(d) To identify best practices, propose benchmarks and facilitate information-sharing throughout the system.

Preface by the Chairman

In accordance with article 10, paragraph 1, of the statute of the Joint Inspection Unit, I am pleased to submit this annual report, presenting an account of the activities of the Unit for the period from 1 January to 31 December 2008 and a description of its programme of work for 2009, as well as the strategic framework of the Unit for 2010-2019 (annex III).

In 2008, the Joint Inspection Unit published six reports, four notes, one management letter and one confidential letter, which contained 119 concrete, action-oriented recommendations that, if accepted/approved and implemented, should result in tangible management improvements through enhanced effectiveness and efficiency gains.

Nine of the reports and notes were of a system-wide nature or covered several organizations of the system. One report covered the entire management and administration of a specialized agency, the Universal Postal Union, whereas the two management/confidential letters covered specific issues of the management and administration of the World Meteorological Organization.

For 2009, the Unit's participating organizations made 52 proposals. Eight others resulted from consultations with the United Nations oversight and coordinating bodies, including the Office of Internal Oversight Services, the Board of Auditors, the United Nations System Chief Executives Board for Coordination (CEB) and the Advisory Committee on Administrative and Budgetary Questions. Most system-wide proposals were for the first time channelled at the Unit's request through the secretariat of CEB, which was also requested to prioritize them. The cooperation of the CEB secretariat in this regard is highly appreciated.

Thirteen proposals were retained for the 2009 programme of work, which resulted in 11 projects by combining proposals covering similar topics. Following the request by the General Assembly to focus on system-wide issues, seven of the projects are system-wide and four are of single-organization nature; one of them is mandated by a legislative organ. Thirteen other proposals were included in the roster for future years, in conformity with the strategic lines devised in the strategic framework for 2010-2019. Management and efficiency issues continue to be our highest priority.

Furthermore, the Joint Inspection Unit has continued to improve its follow-up system on the acceptance, implementation and impact of its recommendations and striven to provide more comprehensive information in its annual report. For the first time, the Unit is also reporting on the consideration of and action taken on its reports, notes and management letters by legislative bodies and executive heads, on the understanding that its effectiveness is a shared responsibility of the Member States, the participating organizations and the Unit itself, a principle established by the General Assembly in its resolution 50/233 and recalled recently in resolution 62/246.

In this connection, the Joint Inspection Unit wishes to extend its sincere appreciation to the General Assembly for its continuing guidance and support, as expressed in its most recent resolutions, including resolution 62/226 and the above-mentioned resolution 62/246.

Once again, the Unit has honoured its commitment to reform. To this end, the Unit is conducting a self-evaluation of its functioning. The Unit's decision to move towards a results-based management approach to carry out its activities; its efforts to improve its collaboration with the secretariats of its participating organizations and with other oversight and coordinating bodies, in particular the CEB machinery; and the adoption of principles and procedures to conduct investigations show the Joint Inspection Unit's determination to make itself a more reliable tool for bringing cost-effectiveness and coherence to the United Nations system. The deliberations of the General Assembly and its action on the various initiatives and proposals of the Unit will greatly determine the future direction of the work of the Unit. The Unit is committed to accept the new challenges posed to it and trusts that it will receive the required support by the General Assembly and its Member States to realize its mission.

The increasing number of responses to our requests for proposals — for this year's programme of work it was the largest number of responses ever received — is the result of our increased interaction with participating organizations and oversight and coordinating bodies, but it is above all an encouraging sign of renewed confidence in the work of the Unit.

On behalf of the Unit, I thank you very much for this renewed confidence.

(*Signed*) Even **Fontaine Ortiz**
Chairman

Geneva, 23 January 2009

Chapter I

Annual report for 2008

A. Reform of the Joint Inspection Unit

1. Throughout 2008, the Joint Inspection Unit pursued its efforts to streamline its internal working processes, procedures, tools and human resources.

2. The most relevant issue was the decision of the Unit to implement results-based management for planning purposes. The strategic framework of the Unit has been revised and a new document prepared outlining the long- and medium-term goals and objectives of the Unit for the period 2010-2019 (annex III). The budget submission for 2010-2011 was also prepared.

3. A comprehensive workplan of the Unit for 2008 was developed, including tasks to be accomplished throughout the year, assigned inspectors and staff and deadlines. The plan included concrete actions to improve the Unit's follow-up system and to enhance interaction with participating organizations and oversight and coordinating bodies, in particular with the United Nations System Chief Executives Board for Coordination (CEB).

4. In the area of human resources, the job descriptions of Professional and assistant research staff were updated in line with new developments in the profession and the standards adopted by the United Nations Evaluation Group, and the job title of the former became Evaluation and Inspection Officers. The new organizational structure, with a cluster approach for evaluation and inspection, for investigation and for programme support, proved to be effective, particularly for supervision, coaching and the learning of junior staff in a year of high turnover within the Unit.

5. The effects of the decision to create within the 2008-2009 budget two Professional posts against the abolition of two General Service posts, aimed at improving the ratio of inspectors to evaluation and inspection staff and resolving conflicting priorities, could not become apparent during the first year of the biennium since recruitment for the posts was for the most part in process. Further, the announced investigation capability is being established within the Unit, as called for by article 8 of the statute. Principles and policies for investigation were adopted in 2008 in line with those adopted by the Conference of International Investigators, which define the nature and scope of the investigations the Unit envisions conducting, as requested by the General Assembly in its resolution 62/246. The relevant post was re-advertised, taking into account the agreed requirements, and a short list of candidates was drawn up for interviews.

6. A skill inventory and training needs assessment was undertaken early in 2008 to take stock of the experience and competences of the Unit's secretariat staff and subsequently design a comprehensive training and learning plan for 2008-2009.

7. The annual staff retreat has evolved from a lessons-learned exercise into a quality-assurance development mechanism with the establishment of working groups within the secretariat to make concrete proposals to streamline internal processes and procedures concerning the preparation of reports, the follow-up system, information and documents management.

8. In the area of information technology (IT), an IT Committee was constituted and its terms of reference approved. A biennial IT plan was drafted on the basis of existing needs of the Unit, which include those related to three major development projects subject to funding.

9. The Access database, developed in-house, was further improved to track delays in the issuance of comments and in the consideration of and action taken by legislative bodies and executive heads on Joint Inspection Unit reports, notes and management letters.

10. The time-tracking system has further evolved from a reporting tool into an instrument to better monitor and improve report preparation and increase accountability.

11. The system set up in 2007 to follow up on delays in the editing, printing and translation process was further developed in 2008 to monitor the distribution of reports, notes and management letters in the applicable languages.

12. Last but not the least, during the second half of 2008 the Unit initiated a self-evaluation of its functioning.[1] The objective of the exercise was to assess the independence, credibility and utility of the Joint Inspection Unit in fulfilling its mission statement.[2]

B. Implementation of the programme of work for 2008

13. The programme of work for 2008, which was adopted by the Unit at its winter session in December 2007,[3] contained 12 projects. During the course of the year a new assignment was added. In addition, the Unit continued working on 10 projects carried over from previous programmes of work. In total, there were 23 ongoing assignments.

14. By the end of 2008, six projects from previous programmes of work and five from the current programme had been completed. Twelve projects will be carried forward to 2009; half of them will be completed early in the year. The completion of one of those projects carried forward, which was requested by the legislative body of a non-participating organization, is subject to the receipt of the required financing from the organization concerned.

C. Reports issued in 2008

15. In accordance with article 11 of its statute, the Joint Inspection Unit issues reports, requiring action by the relevant legislative body, or notes and management/confidential letters that are submitted to executive heads for their use as they may decide. The issuances may concern only one organization or more than

[1] Conducted by reference to the Development Assistance Committee/United Nations Evaluation Group "Framework for professional peer reviews", the Development Assistance Committee principles and tools for peer reviews and assessments and the United Nations Evaluation Group "Norms for evaluation in the United Nations system".

[2] Supra.

[3] *Official Records of the General Assembly, Sixty-second Session, Supplement No. 34* (A/62/34), chap. II.

one organization, and, except for the confidential letters, are all published on the Unit's website (www.unjiu.org).

16. In 2008, the Unit issued six reports, four notes, one management letter and one confidential letter. Of these, nine were of a system-wide nature or concerned several organizations, while the other three concerned the review of administration and management of two participating organizations.

17. *JIU/REP/2008/1, Review of management and administration in the universal postal union.* This review was part of the series of reviews of management and administration at participating organizations undertaken by the Unit. The objective of the review was to identify areas for improvement in the management and administration practices of the Universal Postal Union (UPU). Its focus was on governance, strategic planning, budgeting, human resources management and oversight. The review contained 12 recommendations, of which 5 were addressed to the Director-General and 7 to the Council of Administration for action. The Unit is pleased to note that since the issuance of the report the International Bureau has partially implemented some of the recommendations, including those regarding the establishment of an ethics function and an evaluation post and the provision of additional training funds. The UPU Council of Administration discussed the report and its recommendations at its last session, in November 2008, during which the Inspector presented the report.

18. As concerns the other recommendations, the Inspector believes that those addressed to the Director-General relating to personal promotions and to the reclassification of posts are of critical importance. Of equal importance, the Inspector believes that the recommendations addressed to the Council of Administration relating to internal and external oversight are absolutely essential to the effective and efficient functioning of UPU and should be implemented immediately.

19. *JIU/REP/2008/2, Junior professional officer/associate expert/associate professional officer programmes in United Nations system organizations.* The junior professional officer/associate expert/associate professional officer programme started almost five decades ago at the Food and Agriculture Organization of the United Nations (FAO) and has now spread across the United Nations system organizations, embracing almost 1,000 junior professional officers/associate experts/associate professional officers and involving more than $100 million in funding annually. Against this background, and at the suggestion of the Office of Internal Oversight Services, the inspectors have reviewed the programmes with the objective of providing an overall assessment of them in the United Nations system organizations; evaluating the relevance, effectiveness and impact of the programmes; and recommending measures to improve their political, organizational and operational conditions.

20. The report highlights the high standards and the continuous improvement in the quality of the junior professional officers, to the great satisfaction of all participants in the programmes (donors, organizations and the junior professional officers/associate experts/associate professional officers). It also assesses, inter alia, the operational difficulties in its implementation and recommends revisiting Economic and Social Council resolution 849 (XXXII) of 4 August 1961, which served as a policy basis for the junior professional officer/associate expert/associate professional officer programmes, with a view to adjusting them to the present

realities of development cooperation. Other recommendations are to improve control and monitoring practices within the human resources management practices of the organizations; to elaborate proposals for increasing funding possibilities for candidates from developing countries to participate in the programmes; to establish a clear policy and priorities on the use of junior professional officers in the human resources strategy; and to have adequate follow-up to secure the programme supervision, training and learning elements. The report recommends furthering through the Human Resources Network of CEB the flow of information and cooperation among the recruitment services of United Nations system organizations with a view to making better use of former junior professional officers across the system.

21. *JIU/REP/2008/3, Management review of environmental governance within the United Nations system.* The objective of the report, undertaken at the request of the United Nations Industrialization Development Organization (UNIDO) and the United Nations Environment Programme (UNEP), was to strengthen the governance of programmatic and administrative support, in particular common support services for multilateral environmental agreements by the United Nations system organizations through the identification of measures to promote coordination, coherence and synergies towards a more integrated approach. The review covered environmental governance principles, policies and framework; management framework for funding, resource management and inter-agency coordination; and environmental protection.

22. With a view to enhancing the overall effectiveness of environmental governance within the United Nations system, the report recommends, inter alia, the establishment of a clear understanding on the division of labour among development agencies, UNEP and the multilateral environmental agreements outlining their respective roles and competences for environmental protection and sustainable development; the adoption of a strategic system-wide policy orientation for environmental protection and sustainable development in the planning document of the United Nations system; the establishment of ways and means of governing and managing the agreements to avoid the proliferation of secretariats and achieve savings through the integration of their programme support funds; and the coherent application of the concept of incremental cost funding for multilateral environmental agreements. It further recommends enhancing the coordination of capacity-building activities in the field, through the establishment of national and regional platforms on environmental protection and sustainable development policies that can integrate the implementation of multilateral environmental agreements in the common country assessment and United Nations Development Assistance Framework.

23. *JIU/REP/2008/4, National execution of technical cooperation projects.* On the basis of proposals of the Board of Auditors and the International Atomic Energy Agency (IAEA), the objective of the report is to review the implementation of the concept of national execution of technical cooperation projects as regards its evolution and the identification and dissemination of lessons learned and best practices, as well as related issues, including audit, monitoring and evaluation. The report provides a comprehensive assessment of national execution, as well as the challenges identified in its operationalization such as the participation of civil society, including non-governmental organizations as executing entities or implementing partners in development.

24. The report includes 11 recommendations referring to the need to clarify the definitions governing national execution as well as its planning, designing, financing and expenditure, in order to cope with the development priorities of the recipient countries, to further simplify and harmonize the rules and procedures governing national execution and to coordinate with the United Nations regional commissions in the planning, implementation and follow-up of nationally executed projects, particularly cross-border projects, in order to facilitate joint actions and promote national execution at the regional level.

25. *JIU/REP/2008/5, Information and communications technology hosting services in the United Nations system organizations.* On the basis of a proposal submitted by IAEA, the report provides a comparative study of information and communications technology (ICT) hosting services, both internal and external, adopted by the United Nations system organizations. To reduce costs and enhance the efficiency and effectiveness of the organizations' ICT infrastructure and operations, the inspectors are of the view that ICT hosting decisions should be based on three important factors, namely, organizational situation and business demands, ICT governance and ICT strategy.

26. The report highlights weaknesses and difficulties related to ICT hosting services and recommends the carrying out of a cost-benefit analysis for the selection of an ICT hosting service by applying an analysis of strengths, weaknesses, opportunities and threats and underlines the need to review the ICT strategy on a regular basis to realize maximum benefits. With a view to increasing the effectiveness of ICT services, including hosting services, the report recommends the definition of a consistent method of recording ICT expenditures/costs and the pursuance of joint procurement of ICT hosting services.

27. *JIU/REP/2008/6, Management of Internet websites in the United Nations system organizations.* On the basis of a proposal from the Office of Internal Oversight Services, the inspectors conducted a system-wide review of the management of the Internet websites within the United Nations system organizations to assess their effectiveness and efficiency as a communication tool for information dissemination. The report stresses the importance of related issues, such as the content management system, accessibility and multilingualism.

28. The report provides an assessment of the challenges facing the United Nations system organizations in managing their websites, such as the investment in human resources, including staffing and training, and the unification of websites. In this context, the report underlines the importance of a decision-making mechanism to enable efficient interaction between key stakeholders and the need for good website governance. It recommends, inter alia, the adoption of clear policies with the participation of all stakeholders; the allocation of sufficient and sustained funding for staffing and training; and the establishment of ad hoc committees for the implementation of multilingualism on corporate websites.

29. *JIU/NOTE/2008/1, Common services at Nairobi.* This is part of the series of reviews undertaken by the Unit on common services among co-located organizations of the United Nations system. It examines the Common Services Governance Framework of 2006, as well as the more recently established governance structure for the United Nations Office at Nairobi. Common services both within and outside the Common Services Governance Framework are

reviewed, as well as the scope for further expansion of common services at Nairobi. The note contains seven recommendations.

30. Notwithstanding the complementarities between the two governance structures, the note highlights areas of duplication and recommends that the Common Services Governance Framework be reviewed and streamlined. Best practices, such as the creation of a post of common services coordinator, and positive feedback received from both client organizations and service providers on improvements under the Governance Framework are highlighted, particularly regarding the increased participation of the organizations in the decision-making processes.

31. Key decisions taken at the November 2008 United Nations common services retreat in Kenya included acceptance of those Joint Inspection Unit recommendations under its purview, namely, those on revision of the Common Services Governance Framework; the establishment of an ICT working group; the establishment of a monitoring and evaluation committee; and the need for agreement on the draft memorandum of understanding regarding common premises services, to be raised by the Resident Coordinator at the Executive Services Management Board. Recommendation 3, regarding the frequency of meetings of the Security Management Team, was implemented. There was consensus that the recommendation addressed to the Executive Directors of the United Nations Human Settlements Programme (UN-Habitat) and UNEP would be considered by them directly, and that that directed to United Nations Office at Nairobi would be addressed when the new office space was constructed, currently planned for 2010.

32. *JIU/NOTE/2008/2, Common services at the locations of the United Nations regional commissions.* Undertaken on a suggestion by the United Nations, this is part of the series of reviews conducted by the Unit on common services among co-located organizations of the United Nations system. It covers all the United Nations system organizations represented at the locations of the regional commissions at four duty stations: Addis Ababa, Bangkok, Beirut and Santiago. Geneva was not included in this review, as it had been addressed in previous Joint Inspection Unit reports on the topic.[4] Given the variety of geographic, economic, social and political conditions at the duty stations, the note identifies areas for improvement in common services, with special focus on governance, examines their scope for expansion and encourages emulation and best practices.

33. The note contains nine recommendations, several of them addressed to CEB. It particularly emphasizes the need for a well-functioning common governance structure consisting of two levels: the group composed of the head of the regional commission and the heads of all other represented organizations of the United Nations system (normally the country team or heads of agencies) and a common governance committee at the level of the administrative officials overseeing the management of all common services among the United Nations organizations. It urges agreement on the basic principles for cost accounting and cost sharing for various types of common services. The note also identifies the function of coordinator of common services as an example of best practice.

34. *JIU/NOTE/2008/3, Review of the United Nations Humanitarian Air Service.* The objective of this review is to improve the effectiveness and efficiency of the

[4] JIU/REP/98/4 and JIU/REP/2000/5.

United Nations Humanitarian Air Service and the capacity of the World Food Programme (WFP) to administer impartially the United Nations humanitarian and other air operations. It highlights the Humanitarian Air Service as one of the fundamental means of ensuring access to a disaster-affected population and provides a comprehensive assessment at the governance and operational levels.

35. The review identifies areas that need to be strengthened as well as problems currently facing the Humanitarian Air Service. In this respect, it recommends, inter alia, reviewing the current arrangements to launch and manage the Humanitarian Air Service; proposing to the Economic and Social Council guidelines and/or procedures to enhance the respective accountability of WFP, the Office for the Coordination of Humanitarian Affairs and user organizations; upgrading the United Nations aviation standards on safety and security to General Assembly-sanctioned intergovernmental standards; the preparation of a draft standard host-country agreement to increase the reliability of air services; the prioritization of cargo and passenger transport services; and the provision of international assistance with the involvement of the International Civil Aviation Organization (ICAO) to restore and develop local secure airlines so as to smooth the exit strategy of the Humanitarian Air Service. It further recommends the improvement of the performance information system: the online issuance of a consolidated financial report of all aviation accounts in order to enhance financial transparency for the donor community; and the formalization of the ICAO expert review of the WFP aviation service into an official aviation audit. The Unit is pleased to note that out of the 12 recommendations, WFP has accepted 10 and already implemented 2 of them.

36. *JIU/NOTE/2008/4, Corporate consultancies in United Nations system organizations: overview of the use of corporate consultancy and procurement and contract management issues*. The note provides an assessment of the use of corporate consultancies in the United Nations system organizations, covering relevant rules and regulations, operations, efficiency and effectiveness. It consists of two parts and includes 22 recommendations.

37. The first part presents an overview of the use of corporate consultancy in the United Nations system. It includes findings and recommendations on the level and use of corporate consultancy and policies and practices indicating when to resort to consultancy. The second part presents issues regarding procurement and contract management processes and includes findings and recommendations on procurement, contract management and inter-agency knowledge-sharing. An assessment of a number of procurement and contract management issues is provided in this part, such as non-competitive procurement, best-value procurement methodology, performance evaluation, conflict of interest, long-term agreements, quality of solicitation and contract documents, and the contract management process.

38. *JIU/ML/2008/01, Review of management and administration in the World Meteorological Organization: additional issues*. Further to the report completed at the end of 2007 on management and administration in the World Meteorological Organization (WMO), which was presented to the WMO Executive Council in June 2008, this management letter elaborates on issues already touched upon in the report, as well as additional management issues. It contains six recommendations related to the implementation of results-based management, one recommendation concerning organizational structure, one related to knowledge management and two that address internal controls.

39. *JIU/CL/2008/01, Follow-up on the Joint Inspection Unit 2004 confidential management letter on the adequacy of internal controls at the World Meteorological Organization.* This follow-up on confidential management letter JIU/CL/2004/1 reveals that out of the 12 recommendations, 5 have been implemented and 7 partially implemented. It was therefore recommended that steps be taken to expedite the implementation of the latter without further delay.

D. Interaction with participating organizations

40. In response to the request of the General Assembly in its resolution 60/258, the Unit continued to enhance its dialogue with participating organizations in 2008. The existing policy and guidelines for interaction with participating organizations were revised, and focal-point inspectors, by organization, were designated and given concrete responsibilities. The Chairman of the Unit informed the executive heads of participating organizations of this decision by letter and solicited interviews to discuss ways to improve mutual relations.

41. Meetings were held at the highest level with the Secretary-General and the executive heads of IAEA, the International Labour Organization (ILO), the International Maritime Organization (IMO), the International Telecommunication Union (ITU), the United Nations Population Fund (UNFPA), the United Nations Children's Fund (UNICEF), UNIDO and the United Nations Development Programme (UNDP).

42. During these meetings, issues of common concern for both the Unit and the organizations were discussed. With the executive heads of IMO and ITU, the possibility of entering into follow-up agreements similar to those signed with the majority of Joint Inspection Unit participating organizations was examined and received positively.

43. Focal-point inspectors and report coordinators also participated in the sessions of the legislative bodies of participating organizations where Joint Inspection Unit reports were considered (IMO, ITU, UNDP/UNFPA, United Nations Educational, Scientific and Cultural Organization (UNESCO), General Assembly, UPU, WFP, World Health Organization (WHO) and WMO).

44. The Chairman and the Officer-in-Charge participated in the formal and informal consultations with the Fifth Committee of the General Assembly on the Unit's annual report. The Chairman also made a presentation to the Geneva Group's subgroup on oversight.

45. All these meetings represented unique opportunities for interaction with secretariats and Member States to promote a better understanding of the Unit's work and challenges. The Unit intends to continue organizing such meetings in 2009 and to hold more periodic consultations in the future with the secretariats of its participating organizations and Member States.

E. Follow-up to recommendations

46. The follow-up system to implement the recommendations contained in Joint Inspection Unit reports, notes and management/confidential letters remains a critical issue in the dialogue of the Unit with its participating organizations.

47. The General Assembly, in its resolution 60/258, requested the Unit to strengthen the follow-up of the implementation of its recommendations. It also requested the Unit to include in future annual reports more information on the impact of full implementation of its recommendations. Accordingly, during 2006 and 2007, the Unit enhanced its follow-up system and developed an Access database, which generates different types of management reports on acceptance, implementation and impact, sorted by recommendation, report and organization. Such management reports serve as a basis for the annual follow-up request to participating organizations and the statistics provided in the Unit's annual reports.

48. In 2008, a new module was added to the existing Access database to track delays in the issuance of comments on reports, notes and management letters by CEB and executive heads, as applicable, as well as in the consideration of reports by legislative bodies, in line with the provisions of article 11 of the Joint Inspection Unit statute. The present annual report contains such information for the first time.

49. In order for the organizations to have a clear understanding of the action expected from each of them and to facilitate monitoring of the acceptance and implementation of recommendations, the Unit annexes to each report and note issued a table entitled "Overview of action to be taken by participating organizations on Joint Inspection Unit recommendations", which identifies relevant recommendations by organization, specifying whether they require a decision by the legislative body or can be acted upon by the executive head.

50. In the last quarter of each year, the Joint Inspection Unit secretariat has requested participating organizations to provide updated pertinent information on recommendations issued during the three previous years. Organizations are requested to indicate the status of acceptance (accepted by executive heads/approved by legislative bodies, rejected, under consideration) and the status of implementation (not started, in progress, implemented) for each recommendation relevant to them and the impact achieved.

51. On the basis of the information provided, the rates of acceptance and implementation by recommendation, by report/note and by organization are calculated by year and aggregated for several years. The implementation rate is further calculated for accepted/approved recommendations. If no information is provided, the relevant recommendations are recorded under the heading "no information provided", the rate of which is calculated as well. In this connection, it should be noted that the rate of "no information provided" is quite high during the year following the issuance of reports/notes and diminishes over time, since it takes some time for executive heads and CEB comments to be issued and for the relevant reports to be scheduled for consideration by legislative bodies.

52. Consequently, at the end of 2008, the Unit requested its participating organizations to provide information on recommendations issued in 2005, 2006 and 2007. At the time of writing the present report, the secretariat had received information from all but four organizations (ICAO, Office of the United Nations High Commissioner for Refugees (UNHCR), World Tourism Organization and World Intellectual Property Organization (WIPO)). The response rate is higher than that of the previous year, when eight organizations did not respond to the follow-up request.

53. In this regard, the Unit wishes to recall the provisions of General Assembly resolution 62/246, in which the Assembly requested the Secretary-General, in his capacity as Chairman of CEB, to expedite the consideration of and action on the Unit's recommendations and to report to the Assembly on an annual basis on the results achieved.

54. In the same resolution, the General Assembly also requested the Unit to study the feasibility of using a web-based follow-up system to monitor the status of recommendations and receive updates from organizations.

55. In recent years, the Joint Inspection Unit has dedicated considerable efforts within its stretched resources to strengthen the follow-up system. In 2008, the secretariat staff dedicated about 130 working days to focal-point and follow-up activities. Consequently, the Unit is requesting in its budget submission for 2010-2011 the necessary resources to further improve its follow-up system through closer periodic monitoring to meet the requirements of General Assembly resolution 62/246.

56. Further, recognizing the importance of an effective follow-up system, 10 years after its endorsement by the General Assembly in resolution 54/16, and the subsequent endorsement of most legislative bodies of the United Nations specialized agencies, the Unit embarked in 2008 on an assessment of the existing system, including best practices and shortcomings, and has reactivated its efforts to conclude agreements with those organizations with which agreements are pending. This review of the follow-up system will be completed in 2009.

Consideration of Joint Inspection Unit reports, notes and management/confidential letters

57. Article 11, paragraph 4 (d), of the statute provides that when a report concerns only one organization, the report and comments thereon of the executive head shall be transmitted to the competent organ of that organization not later than three months after the receipt of the report for consideration at the next meeting of the competent organ.

58. Article 11, paragraph 4 (e), of the statute provides that when a report concerns more than one organization, the executive heads shall normally consult within the CEB framework to coordinate their comments to the extent possible, and the report, together with the joint comments and any individual comments of the executive heads on matters that concern their particular organization, shall be ready for submission to the competent organs of the organizations not later than six months after receipt of the Unit's report for consideration at the next meeting of the competent organs concerned.

59. Article 11, paragraph 5, provides that notes and confidential letters shall be submitted to executive heads for their use as they may decide.

60. Data available on the 33 reports, notes and management/confidential letters issued during 2005, 2006 and 2007 were analysed against the above provisions.

61. Out of 17 single-organization reports, notes and management/confidential letters issued during 2005, 2006 and 2007, executive heads have provided comments on all but JIU/REP/2005/9, "Common services in Vienna", which was sent for action to IAEA in December 2005.

62. All single-agency reports issued in 2005, 2006 and 2007 have been considered by the legislative bodies of the organizations concerned, except JIU/REP/2005/9 which was not considered by IAEA.

63. The Unit issued 16 reports, notes and management letters that were system-wide or concerned several organizations during this period and that required comments by CEB.

64. The timely issuance of the comments of executive heads and CEB is crucial to avoid delays in the consideration of reports by legislative bodies and therefore for their relevance and impact. In this regard, action has been taken to expedite the dispatch to the CEB secretariat and the issuance of its comments within the statutory six-month period.

65. Furthermore, reports were not always scheduled for consideration by legislative bodies right after the issuance of comments. In the case of those participating organizations whose relevant governing bodies meet only once a year, or have a separate agenda item for the Joint Inspection Unit once a year, it may take considerable time for the Unit's reports to be considered. This explains why the picture is most critical for system-wide reports issued in 2007, as shown in table 1.

66. The utmost efforts should be made by WIPO, ITU, the World Tourism Organization and IAEA, which have the 12 reports sent during these years for action pending consideration; ITU, the World Tourism Organization and IAEA have not yet subscribed to the follow-up system.

67. WHO, UNIDO, ICAO, FAO and UPU exemplify the best practices, followed by UNDP, UNFPA, UNICEF, UNESCO and WFP. Still, most of these organizations, when presenting their comments for consideration, do not propose to legislative bodies a concrete course of action to accept, reject or modify the recommendations addressed to them.

Table 1

Consideration of Joint Inspection Unit system-wide reports by legislative bodies (based on available official documentation found on the organizations' websites)

			United Nations and its funds and programmes					Specialized agencies and IAEA													
Report	Short title	Sent for action	United Nations	UNDP	UNFPA	UNICEF	WFP	ILO	FAO	UNESCO	ICAO	WHO	UPU	ITU	WMO	IMO	WIPO	UNIDO	UNWTO	IAEA	Total organizations not considering reports
JIU/REP/2005/2	Performance at country level	24.05.2005																			4
JIU/REP/2005/3	Open-source software in secretariats	13.07.2005																			8
JIU/REP/2005/4	Common payroll	01.09.2005																			5
JIU/REP/2005/7	Open-source software for development	19.10.2005																			5
JIU/REP/2005/8	New Partnership for Africa's Development	23.12.2005																			4
JIU/REP/2006/2	Oversight lacunae	06.03.2006																			4
JIU/REP/2006/4	Headquarters agreements II	28.09.2006																			5
JIU/REP/2006/5	Disaster reduction	06.10.2006																			3
JIU/REP/2007/1	Voluntary contributions	02.07.2007																			7
JIU/REP/2007/2	United Nations staff medical coverage	06.07.2007																			7
JIU/REP/2007/4	Age structure	28.06.2007																			5
JIU/REP/2007/6	Knowledge management in the United Nations system	06.11.2007																			9
JIU/REP/2007/10	Liaison offices	04.02.2008																			9
JIU/REP/2007/12	HIV/AIDS	13.02.2008																			7
Total reports not considered			4	2	2	2	4	5	1	2	1	0	1	12	6	4	12	0	12	12	

Considered
Not considered (yet)
Sent for information only

Acceptance/approval of recommendations

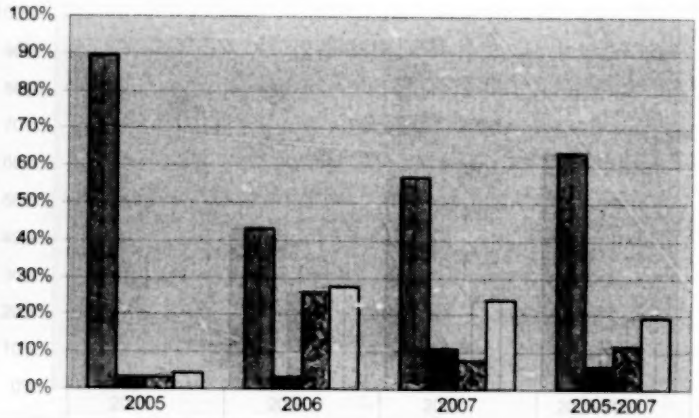
68. In previous years, the Unit used to report on the aggregate acceptance/approval rate of recommendations for the previous biennium. From 2008, the reporting system has been changed to disclose implementation by year to be able to monitor progress over time.

Single-organization reports and notes

69. An analysis of available data concerning the 205 recommendations contained in single-organization reports and notes issued in 2005, 2006 and 2007 as at the end of 2008 shows that the acceptance rate has reached 90 per cent for 2005.

Figure I

Acceptance rate of recommendations contained in single-organization reports and notes (2005-2007)



	2005	2006	2007	2005-2007
Accepted	90%	43%	57%	64%
Rejected	3%	3%	11%	6%
Under consideration	3%	26%	8%	12%
No information provided	4%	28%	24%	19%

The overall acceptance/approval rate of 64 per cent can be considered a satisfactory result, taking into account the fact that no information was provided for 19 per cent of the recommendations. Only 6 per cent of all recommendations were rejected.

70. Eight per cent of the recommendations are under consideration. In most of these instances, the governing bodies, after having considered the reports, have taken note of the recommendations, without explicitly approving or endorsing them. In this connection, the Unit encourages the secretariats of participating organizations to propose a course of action to Member States by accepting, rejecting or modifying recommendations addressed to them. Member States, in turn, are expected to play their governance role by deciding on a concrete course of action. Taking note is tantamount to non-action and therefore is not a valid option. In its resolution 62/246, the General Assembly expressed its readiness to apply the follow-up system to review recommendations of the Unit requiring action by the Assembly.

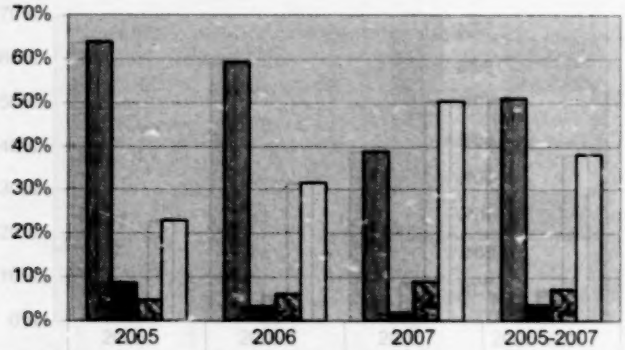
71. The high percentage of recommendations for which no information is provided in 2007 had mainly to do with two organizations (ICAO and United Nations) and three reports. For the recommendations addressed to the United Nations, no information was provided in 44 per cent of the cases; half of the recommendations for which no information was provided were addressed to the General Assembly.

System-wide reports and notes and those concerning several organizations

72. An analysis of available data on the 144 recommendations contained in the system-wide reports and notes and those concerning several organizations issued in 2005, 2006 and 2007 shows that as at the end of 2008 the acceptance rate had reached 64 per cent for recommendations issued in 2005.

Figure II

Acceptance rate of recommendations contained in system-wide reports and notes and those concerning several organizations (2005-2007)



	2005	2006	2007	2005-2007
Accepted	64%	59%	39%	51%
Rejected	8%	3%	2%	4%
Under consideration	5%	6%	9%	7%
No information provided	23%	32%	50%	38%

73. The overall approval/acceptance rate of 51 per cent can be considered a satisfactory result, taking into account that no information was provided for 38 per cent of the recommendations.

74. Only 4 per cent of the recommendations issued were rejected.

75. Seven per cent of the recommendations are still under consideration. The remarks made in paragraph 73 above apply also to these instances when the governing bodies, after having considered system-wide or multi-organization reports, have only taken note of their recommendations, without explicitly approving or endorsing them.

76. The high percentage of recommendations for which no information is provided in 2007 had mainly to do with the United Nations, UNHCR, ICAO, WIPO and the World Tourism Organization and five reports. For the recommendations addressed to the United Nations, no information was provided in 74 per cent of the cases; half of

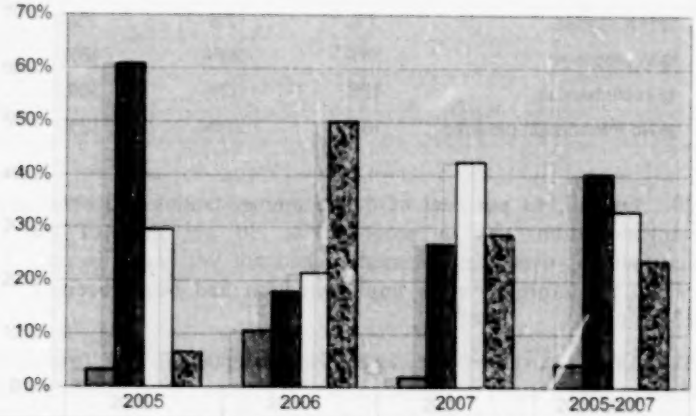
the recommendations for which no information was provided were addressed to the General Assembly.

Implementation of recommendations

Single-organization reports and notes

77. The data on approved/accepted recommendations in single-organization reports and notes issued in 2005, 2006 and 2007 as at the end of 2008 show that only 30 per cent of recommendations for 2005 had been implemented and 61 per cent were still in progress. However, the high rate of recommendations implemented (42 per cent) and in progress (27 per cent) for 2007 is encouraging after only one year.

Figure III
Implementation rate of accepted/approved recommendations contained in single-organization reports and notes (2005-2007)



	2005	2006	2007	2005-2007
Not started	3%	11%	2%	4%
In progress	61%	18%	27%	40%
Implemented	30%	21%	42%	33%
No information provided	7%	50%	29%	24%

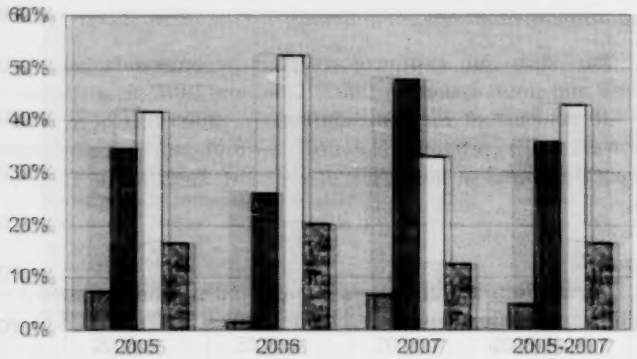
78. Overall, 33 per cent of recommendations had been implemented, while implementation was in progress for 40 per cent. Implementation had not yet started in 4 per cent of cases. No information on the status of implementation was received for 24 per cent of the accepted recommendations.

System-wide reports and notes and those concerning several organizations

79. The data on accepted/approved recommendations in system-wide and multi-organization reports and notes issued in 2005, 2006 and 2007 show that as at the end of 2008 42 per cent of recommendations had been implemented and 35 were still in progress for 2005. Again, this time the relatively high rate of recommendations implemented (33 per cent) and in progress (48 per cent) for 2007 is encouraging, after only one year.

Figure IV

Implementation rate of accepted/approved recommendations contained in system-wide and multi-organizations reports and notes (2005-2007)



	2005	2006	2007	2005-2007
Not started	7%	2%	7%	5%
In progress	35%	26%	48%	36%
Implemented	42%	52%	33%	43%
No information provided	16%	20%	13%	17%

80. Overall, 43 per cent of the recommendations had been implemented, while implementation was in progress for 36 per cent of the recommendations accepted/approved. Implementation had not yet begun in only 5 per cent of the cases. No information on implementation had been received for the remaining 17 per cent.

81. Table 2 shows the aggregate acceptance and implementation rate by organization since the inception of the system, from 2004 to date, and it is self-explanatory in terms of the commitment of each organization to the follow-up system.

82. On the positive side, in descending order, the United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA), UNDP, WFP, IAEA, FAO, UNIDO, UNESCO, WMO and UNFPA have the highest rate of acceptance, while UNESCO, FAO and WMO have the highest rate of implementation.

Table 2
Aggregate status of acceptance and implementation of Joint Inspection Unit recommendations by participating organizations (2004-2007)
(Percentage)

	Acceptance					*Implementation*			
	Not relevant	*Accepted/ approved*	*Rejected*	*Under consideration*	*No information provided*	*Not started*	*In progress*	*Implemented*	*No information provided*
United Nations	0.9	36.7	3.3	15.8	43.3	6.3	26.6	34.2	32.9
UNCTAD	17.1	40		42.9		14.3	42.9	35.7	7.1
UNODC	23	54.1		4.9	18	6.1	66.7	27.3	
UNEP	14.5	61.3	4.8	1.6	17.7	7.9	18.4	5.3	68.4
UN-Habitat	35.2	63			1.9	2.9	55.9	41.2	
UNHCR		28.2	2.8	0.9	68.2	3.3	43.3	40	13.3
UNRWA	3.6	96.4			44.6	9.3	38.9	44.4	7.4
UNDP		91.7	2.8	5.5	33.9		41	48	11
UNFPA		68	3		29		41.2	36.8	22.1
UNICEF	2	44.5	1	7.9	44.6	4.4	20.5	31.1	44.4
WFP		87.2	1.1	11.7			40.2	41.5	18.3
ILO		45.5	1	9.1	44.4		15.6	6.7	77.8
FAO		76.6	13.8	1.1	8.5		20.8	65.3	13.9
UNESCO	1	71.9	6.8		20.4	1.4	24.3	68.9	5.4
ICAO		6.3			93.8		50	33.3	16.7
WHO		41.3	3.8	1	53.8	25.6	48.8	16.3	9.3
UPU	7.5	49.2	3	29.9	10.4	18.2	36.4	36.4	9.1
ITU	1.2	13.1			85.7		27.3	72.7	
WMO	6.7	71.2	7.7	13.5	57.7	6.8	28.4	63.5	1.4
IMO	1.4	54.2	4.2	5.6	34.7	2.6	5.1	20.5	71.8
WIPO		13.4	1		85.6		53.8	46.2	
UNIDO	3.4	74.7	9.2	12.6		9.2	41.5	40	9.2
UNWTO		6.7	23.6	4.5	65.2		100		
IAEA	3.3	82.6	5.4	8.7		10.5	17.1	42.1	30.3

Impact

83. The Unit has defined eight different categories to use in better determining and reporting on the impact of its recommendations.

84. In 2008, the majority of the recommendations continued to focus on enhanced effectiveness and efficiency, with a net increase in focus on enhanced accountability.

85. The intended impacts for 2005, 2006, 2007 and 2008 are presented in table 3.

Table 3

	Number of recommendations				*Percentage*			
Impact categories	*2005*	*2006*	*2007*	*2008*	*2005*	*2006*	*2007*	*2008*
Enhanced effectiveness	19	22	64	40	16	24	46	34
Enhanced efficiency	39	28	35	20	33	30	25	17
Enhanced accountability	2	6	11	19	2	7	8	16
Enhanced controls and compliance	18	13	11	13	15	14	8	11
Enhanced coordination and cooperation	18	14	8	7	15	15	6	6
Dissemination of best practices	18	8	5	8	15	9	4	7
Financial savings	1	1	4	6	1	1	3	5
Other	5	0	2	6	4	0	1	5
Total	**120**	**92**	**140**	**119**	**100**	**100**	**100**	**100**

F. Relationships with other oversight and coordinating bodies

86. The Unit was quite active in its interactions with oversight and coordinating bodies in 2008.

87. The eleventh annual tripartite meeting with the Board of Auditors and the Office of Internal Oversight Services, held in early December, was chaired by the Joint Inspection Unit. The parties exchanged their workplans for 2009, as available, and discussed how to avoid overlapping or duplication and achieve further synergy and cooperation in other areas. Both the Board of Auditors and the Office of Internal Oversight Services actively contributed with proposals and comments to the Joint Inspection Unit programme of work for 2009.

88. Throughout the year, the three parties met on other occasions, taking advantage of official missions to their respective locations.

89. The Unit also had regular contacts with other internal oversight services, in particular those that have been designated as their organization's focal point for dealing with Joint Inspection Unit issues. Special mention is made of the meeting organized with the Office of Internal Oversight of UNESCO.

90. The relationship between the Joint Inspection Unit and the United Nations Evaluation Group took a new direction in 2008, with the Unit participation in the Evaluation Group network on the issue of the creation of a new United Nations evaluation entity. The Unit made public its position that there was no need to replicate structures that already existed within the system and that the Joint Inspection Unit has the mandate, independence and experience to meet system-wide evaluation needs, lacking only sufficient resources to properly discharge this function.

91. The Unit participates in the annual meetings of the United Nations Evaluation Group, the meetings of representatives of internal audit services of the United

Nations organizations and multilateral financial institutions and the Conference of International Investigators, important forums for the exchange of oversight practices and the discussion of system-wide oversight issues.

92. A major new development in 2008 was the increased cooperation of the Unit with the CEB machinery. Letters were sent to the chairpersons of the High-level Committee on Management and the High-level Committee on Programmes delineating concrete proposals for interaction and requesting participation in those committees under the relevant agenda item to exchange views on issues of common interest. Further, various meetings and contacts took place with the chairpersons of those committees and the CEB secretariat, with encouraging results. The Unit looks forward to continuing these exchanges in 2009, inter alia, through its effective participation in the work of both committees and their various networks.

93. The Unit also had fruitful working meetings in 2008 with the Advisory Committee on Administrative and Budgetary Questions, the Committee for Programme and Coordination, the Independent Audit Advisory Committee and the International Civil Service Commission.

G. The new Joint Inspection Unit strategic framework: a results-based management approach

94. Article 1, paragraph 2, of the Joint Inspection Unit statute provides that

> The Unit shall perform its functions in respect of and shall be responsible to the General Assembly of the United Nations and similarly to the competent legislative organs of those specialized agencies and other international organizations within the United Nations system which accept the present statute (all of which shall hereinafter be referred to as the organizations). The Unit shall be a subsidiary organ of the legislative bodies of the organizations.

Consequently, the Unit is accountable only to them for the results, and therefore its expected results and the related indicators have to be discussed and approved by the General Assembly. The United Nations Secretariat serves, for practical purposes, as the channel of communication between the Unit and the United Nations legislative organs.

95. The Joint Inspection Unit has consistently advocated and promoted the introduction and use of results-based approaches across the organizations of the United Nations system. Its series of reports on results-based management, and in particular the results-based management strategic framework developed by the Unit, have been widely used by the Unit in reviews of participating organizations. Both the General Assembly, by adopting in its resolution 60/257 the report of the Committee for Programme and Coordination,[5] and CEB[6] have endorsed the results-based management strategic framework developed by the Unit. Furthermore, they have recommended the use of the approved benchmarking framework as a major tool in the implementation of results-based approaches by organizations of the United Nations system.

---

[5] *Official Records of the General Assembly, Sixtieth Session, Supplement No. 16* and corrigendum (A/60/16 and Corr.1).

[6] CEB/2005/HLCM/R.6.

96. The Joint Inspection Unit statute provides for three main documents to be used as vehicles for results-based management purposes: the programme of work (article 9), the budget (article 20) and the annual report (article 10). The Unit submits the programme of work and the annual report directly to the General Assembly, while its budget is included in the United Nations regular budget and its consideration follows a separate procedure (see article 20), in particular because the expenditures of the Unit are shared by the participating organizations.

97. Since the United Nations Secretariat submits its programme and related budget in a single document and the Joint Inspection Unit uses two documents, the introduction of results-based management in the Unit should be treated as a special case; the Unit's programme of work presents expected results and associated indicators for the Unit, while the proposed programme budget sets out the expected results of the secretariat of the Unit. The Unit's annual report, by definition and according to directives from the General Assembly in various resolutions, is the reporting tool for assessing the Unit's performance and related accountability.

98. The Unit believes that in order to better serve its stakeholders and to maintain consistency with its own recommendations on results-based management, it should also pioneer its own proposed and approved results-based management benchmarking framework and apply it to its own activities. This initiative will help to develop enhanced evaluation mechanisms, and the subsequent application of lessons learned will also lead to a more transparent and efficient overall management of the Unit.

99. On one hand, article 5, paragraph 3, of the Unit's statute provides that

> The Unit shall satisfy itself that the activities undertaken by the organizations are carried out in the most economical manner and that the optimum use is made of resources available for carrying out these activities.

Therefore, another important and new component of the medium-term planning of the Unit is the periodic and systematic review of the management and administration of participating organizations. The Unit plans to undertake systematic reviews of the management and administration of the participating organizations. In the past, the Unit has completed several reviews of the management and administration of certain participating organizations; however, the selection of organizations, the number of reviews undertaken every biennium and the methodology used were not systematic and were based mainly on specific mandates, personal initiatives, short-term needs and the amount of resources available at a given time.

100. On the other hand, the General Assembly, in its resolutions 62/226 and 62/246, requested the Joint Inspection Unit to focus its work on system-wide issues of interest and relevance to the participating organizations and to provide advice on ways to ensure more efficient and effective use of resources in implementing the mandates of the organizations.

101. The United Nations Evaluation Group has proposed to create a new United Nations system-wide independent evaluation unit. While sharing the concern expressed, the Joint Inspection Unit has pointed out that this proposal leads to unnecessary duplication of its mandate, functions and structure and has expressed its willingness to expand its coverage to satisfy the United Nations-system evaluation

needs at a much lower cost.[7] The Unit has reiterated that it possesses the required mandate, independence, credibility and experience to meet the system-wide evaluation needs; however, the resources allocated to it do not allow it to properly discharge this function. In an attempt to fill the gap, the Unit has requested an increase in resources in its 2010-2011 proposed programme budget, in an amount sufficient to exercise its system-wide evaluation responsibilities at a considerably lower cost than the one foreseen by the Evaluation Group.

102. According to benchmark 3 of its results-based management benchmarking framework,[8] the Unit needs, among other things, to adopt a long-term planning instrument (corporate strategic framework) and define clearly its long-term objectives.

103. Pursuant to benchmark 5 of the benchmarking framework, the Unit proposes a level of resources well aligned and commensurate with its long-term objectives, thus ensuring coherence and compatibility between budgeting and programming decisions and adopting a programming instrument linking resources to results.

104. The implementation of the proposed long- and medium-term strategy requires, inter alia, the availability of commensurate resources, both human and financial. Given that the United Nations allocates resources on a biennial basis, the Unit assumes that the resources necessary for the implementation of its long- and medium-term strategy will be made available in due time. In particular, it is fundamental to ensure coherence and compatibility between budgeting and programming decisions (e.g., any budget cuts should correspond to specific identified programme cuts); therefore, the Unit's resources should be aligned with its long-term objectives.

105. Finally, the proposed strategic framework intends to bring more accountability and transparency to Joint Inspection Unit operations and facilitate a continuous dialogue between the Unit and its stakeholders. Therefore, the Unit will highly appreciate comments from the legislative organs of its participating organizations, their executive heads and experts and oversight bodies of the United Nations system concerned with budgetary control, investigation, coordination and evaluation with a view to continuously updating and improving it.

H. Resources

106. The approved staffing table of the Joint Inspection Unit in 2008 was composed of 11 Inspectors (D-2), the Executive Secretary (D-2), 10 Professional posts dedicated to evaluation and inspection (two P-5, three P-4, three P-3 and one P-2) and to investigation (one P-3), a Senior Research Assistant (G-7) and 8 General Service (Other level) staff, of whom 4 were assigned as research assistants to specific projects and 4 provided administrative, IT, documentation management, editorial and other support to the Unit.

---

[7] The Joint Inspection Unit is requesting an additional $0.8 million for the biennium 2010-2011. According to CEB/2008/HLCM/19, the estimated core staff, programme and initial installation costs and 10 per cent contingency funding for this establishment phase would be $4,500,000 for a biennium, including the undertaking of two evaluations.

[8] JIU/REP/2006/6, sect. I.

107. Job descriptions were for the most part updated and jobs reclassified to change titles and bring them into line with the evolving needs of the Unit, new developments in the profession and the standards adopted by the United Nations Evaluation Group. The secretariat structure was further streamlined by organizing it into three groups, for evaluation and inspection, investigation and programme support, and several clusters for closer supervision and coaching.

108. With the creation of two Professional posts at the beginning of the year against the cancellation of two General Service posts, both the ratio of General Service to Professional staff and the ratio of Professional staff to inspectors were improved.

109. In order to draw a comprehensive learning and development plan compatible with the resources[9] and the needs of the Unit and individual staff, the secretariat undertook a staff skills inventory and training-needs assessment. A plan for 2008-2009 was adopted with seven goals, specific targets and performance indicators focusing on United Nations core values and competencies (mandatory United Nations training modules for staff and managers), professional evaluation techniques and IT and language skills.

110. By the end of 2008, the intermediate goals for the seven areas of the plan had been reached, with one exception, the training on managerial competencies. Six staff members attended the one-week introductory course in Geneva on evaluation, jointly organized by the United Nations System Staff College and United Nations Evaluation Group. All Joint Inspection Unit research staff have now completed that introductory course. In addition, two professional workshops on evaluation were organized for inspectors and other staff. The first was held in January, in collaboration with the Office of Internal Oversight Services, and the second in September, with the assistance of a consultant.

111. The number of training days attended by the staff in 2008 amounted to 110, an average of 7.3 days per regular staff member, which represents a 46 per cent increase over 2007.

112. At the beginning of the year, the secretariat held its one-day annual retreat. The retreat allowed for discussion of methodology, work planning and other issues of relevance for all staff. As a result, four working groups of the secretariat were set up, and they have worked throughout the year to develop concrete proposals to improve working procedures for the preparation of reports, the follow-up system, information and documents management and documentation of working papers. The groups will continue their work in 2009.

113. In terms of financial resources, regular budget expenditures for 2008 amounted to $6.2 million, of which $5.8 million (93.5 per cent) was for staff costs, $0.27 million (4.4 per cent) for travel and $0.13 million (2.1 per cent) for other non-staff costs. The devaluation of the dollar and the increase in ticket prices has had a serious impact on the Units' travel budget.

114. In 2008, for the first time the Joint Inspection Unit sought to diversify its sources of financing by going outside the regular budget of its participating organizations, and it obtained a voluntary contribution from the Government of Norway in the amount of $100,000 towards a project-related activity.

[9] $23,100 for the biennium 2008-2009, equivalent to 0.19 per cent of the budget, and $1,155 per staff member, exclusive of inspectors.

115. Throughout the year, the Unit has also sought funding to undertake an evaluation requested by the legislative body of a non-participating organization and included in its programme of work, for an estimated cost of $219,000. To that end, a memorandum of understanding has just been signed with the United Nations Convention to Combat Desertification and its Global Mechanism.

116. A trust fund has been established for the receipt of these and any other future voluntary contributions.

117. Further, the Unit took steps towards joining the associate experts programme of the United Nations with a request for at least one junior evaluator. The secretariat prepared the relevant job description and guidelines for employment, which were channelled through the Department of Economic and Social Affairs, and is expecting a positive response from donors in early 2009.

118. Lastly, as already mentioned, in line with its decision to implement results-based management, the Unit has requested an 8.9 per cent increase after recosting in its budget submission for 2010-2011 to produce 45 per cent more outputs, adding three Professional posts for evaluation and inspection, one of them partially dedicated to follow-up and quality assurance, and to introduce a web-based follow-up system to better meet the requirements of Member States for more effective oversight.

119. Unlike other United Nations oversight services that have benefited from a significant injection of resources in recent years, this is the first substantial increase requested by the Unit in the last 20 years, during which its resources have basically remained unchanged.

I. Appointment of the Executive Secretary

120. The post of Executive Secretary of the Joint Inspection Unit is still vacant, 14 months after its advertisement in December 2007. Following the statutory procedures, on 3 July 2008 the Unit submitted to the Secretary-General a detailed comparative evaluation of the six previously short-listed candidates, together with its recommendation for appointment of the most qualified and experienced candidate to assist it in discharging its duties.

121. In accordance with article 19 of the statute of the Unit, the Executive Secretary is appointed by the Secretary-General "after consultation with the Unit and the Administrative Committee on Coordination" (current CEB). Therefore, the final decision shall be the result of this process of consultation.

122. During the Unit's 40 years of existence, the practice for the implementation of this provision has been one by which the Unit reviews the list of all the candidates that meet all the requirements of the post, makes a comparative evaluation, submits the comparative evaluation and recommends the candidate who, in its view, is the best qualified and experienced to assist it in discharging its duties. The Secretary-General is entitled to ensure that the process is carried out in full transparency and fairness, in accordance with General Assembly directives.

123. Moreover, the United Nations staff recruitment process is currently governed by administrative instruction ST/AI/2006/3, "Staff selection system", promulgated on 15 November 2006, which applies mutatis mutandis to the Joint Inspection Unit

and establishes without ambiguity in its provision 2.3 that selection decisions are made by the head of department/office (the JIU in this case) when the central review body, the Senior Review Group in accordance with provision 3.1, is satisfied that the evaluation criteria have been properly applied and that the applicable procedures were followed. It elaborates by adding that if a list of qualified candidates has been approved, the head of department/office may select any one of those candidates for the advertised vacancy, subject to the provisions contained in section 9.2.

124. The above is reiterated in provision 9.1, which further clarifies:

> the selection shall be made by the official having authority to make the decision on behalf of the Secretary-General when the central review body finds that the evaluation criteria were improperly applied and/or that the applicable procedures were not followed, in accordance with the provisions of section 5.6 of ST/SGB/2002/6.

125. The submission was first considered by the Senior Review Group. All technical questions and observations posed by the Senior Review Group and additional clarifications it requested were duly addressed by the Unit and not contested by the Group. Furthermore, neither the methodology and pre-approved evaluation criteria used by the Unit nor the detailed substantive comparative evaluation done by the Unit as a whole in accordance with provision 9.2 was contested by the Senior Review Group.

126. After submitting its recommendation for appointment, the Unit informally learned that the Secretary-General, through an internal memorandum, had modified provisions 2.3 and 9.1 mentioned above for the selection process for posts at the D-2 level by requesting that at least three candidates be proposed, including at least one female candidate. The Unit questions not only the fairness of trying to apply a new procedure for selecting its Executive Secretary without previously consulting it and after the submission had been made, but also the legality of changing a procedure on a fundamental question without at least informing the General Assembly and the staff.

127. On the basis of the above-mentioned internal memorandum, throughout the process it was clear that the Senior Review Group was attempting to impose a female candidate for the post. The Joint Inspection Unit, one of the main functions of which is to give assurances to the Member States that their mandates are translated into action by the secretariats, carefully considered this aspect. Preference should be given to female candidates in cases of equal qualifications and experience, which was not the case on this occasion. Moreover, paragraph 3 of annex 2 of ST/AI/2006/3 states that explanation should be provided only when the recommended candidate is a male candidate where an equally qualified female candidate exists and the gender target of the department has not been met. The female candidate ranked fourth in the comparative evaluation in the overall unanimous opinion of the inspectors, and therefore an attempt to give priority to her candidature over other, more qualified candidates would be not only a violation of the United Nations policies and procedures governing gender balance, but discrimination against the other candidates.

128. Moreover, in an unprecedented departure from the provisions of ST/AI/2006/3 and in violation of established procedures, the Senior Review Group decided to re-interview the six short-listed candidates so as to propose a different list of

candidates to the Secretary-General, without any justification other than its members' impressions about the candidates' performance during the interview with respect to "their vision and fresh ideas". The Unit is convinced that the Senior Review Group is not more knowledgeable about the Unit's needs than the Unit itself (composed of 11 inspectors elected by the General Assembly), nor better qualified or more competent to determine which candidate could best assist the inspectors in carrying out their responsibilities. The Unit strongly objects to the illegal action of the Senior Review Group and deeply regrets that the Secretary-General, as the Chief Administrative Officer of the United Nations, and thus in charge of promoting accountability as a key element for good management, has not yet taken any action to remedy this uncomfortable situation that negatively affects the operations of the Unit.

129. The importance of the independence of the oversight mechanisms has been recognized by the Member States in, among others, General Assembly resolution 48/218 B of 29 July 1994, in which the Assembly stated that the Office of Internal Oversight Services should exercise operational independence. In its note A/51/674 of 13 November 1996, the Unit amply elaborated on this issue and expressed its belief that similar operational independence is required for all oversight mechanisms, in particular for external oversight mechanisms such as the Unit.

130. This decision of the Secretary-General on the appointment of D-2 officials could also have a negative impact on the independence of oversight and expert bodies. Therefore, the Unit, as a subsidiary body of the General Assembly and other legislative organs of its participating organizations, strongly urges the Assembly to pronounce itself on the subject and, in particular, to request the Secretary-General to comply with the provisions of the Joint Inspection Unit statute.

J. Other administrative issues

131. In its resolution 62/246 the General Assembly requested the Unit to report on any difficulties and delays in obtaining visas for the official travel of some of the inspectors and members of its secretariat. In 2008, no incidents were registered.

Chapter II
Programme of work for 2009

132. In accordance with General Assembly resolution 61/260, by which the Assembly decided to consider jointly the annual report and programme of work of the Joint Inspection Unit during the first part of its resumed session, the Unit launched the preparation of its programme of work for 2009 in July 2008. The Unit invited participating organizations to submit their proposals by mid-September 2008. For 2009, however, the Unit suggested that system-wide requested proposals be channelled through the CEB secretariat.

133. In total, 60 proposals were received in 2008, as compared to 36 in 2007 and 3 in 2006. This is the largest number of proposals ever received, reflecting renewed interest and confidence in the work of the Unit. In addition, the Unit made 11 internal proposals, of which 3 were taken from the previous year's roster. Most proposals relate to issues of a system-wide nature.

134. All external and internal proposals were subjected to a thorough screening process, which took into account, inter alia, the work done and planned by other internal and external oversight bodies, resource implications of the proposed review and timeliness for governing bodies and other recipients, as well as the potential of the review to contribute to enhanced effectiveness, efficiency, coordination and cooperation.

135. In addition, the Unit consulted with the CEB secretariat, the Board of Auditors and the Office of Internal Oversight Services on the proposals received. The consolidated list of proposals was the subject of further review at the tripartite meeting with the Board of Auditors and the Office of Internal Oversight Services on 3 December 2008.

136. The inspectors considered the proposals in detail. Taking into account the request of the General Assembly to focus on issues of system-wide interest, value and relevance to the efficient functioning of all organizations to which it provides services, as well as the strategic directions drawn in its strategic framework for 2010-2013 and the resources available to implement such projects, the Unit included 11 assignments in its programme of work for 2009, and another 13 projects were placed in the roster to be undertaken in future years.

137. The 2009 programme of work contained seven system-wide projects and four of a single-organization nature; one of the latter was mandated by a legislative body and two are part of the series of reviews of administration and management of individual organizations conducted by the Unit over the last two decades.

138. The programme of work is subject to change in the course of the year: new reports may be added; planned reports may be modified, postponed or cancelled when circumstances warrant; and titles may be changed to reflect the new thrust of reports.

International Telecommunication Union regional presence[10]

139. The Plenipotentiary Conference of the International Telecommunication Union, held in Antalya, Turkey, in 2006, in its resolution 25, requested the Joint Inspection Unit to undertake an evaluation of the ITU regional presence. The report is to be presented to the ITU Council in October 2009 and to the Plenipotentiary Conference in 2010.

140. The Joint Inspection Unit report should give an assessment of the decentralization process carried out in ITU and its efficiency; the level of satisfaction of Member States, sector members and regional telecommunication organizations with the ITU regional presence; the operations and the effectiveness of the network of regional ITU offices, including the extent of duplication of functions with ITU headquarters; the regional offices' degree of autonomy in decision-making; their contribution to reducing the digital divide; and their collaboration with regional telecommunication organizations, as well as international and regional development and financial organizations. It is expected that the recommendations of the report will result in improving the structure of the ITU regional presence and strengthening the functions and powers that may be assigned to the regional offices in implementing the action plan of the World Summit on the Information Society.

Management-staff relations in the United Nations system[11]

141. Good and effective interaction between the management of the organizations of the United Nations system and their staff, which is considered their most precious asset, is critical for the delivery of high-performance services.

142. Through a comparative inventory of institutions and practices in the various organizations, including through a comparison in respect of the regulations and rules in force in each organization, this project will assess how both parties can be best prepared, at all levels, for common results-based activities relating to mutual information, consultations, negotiations, agreements and the implementation thereof. The project will evaluate such processes and try to clarify which elements would ensure the necessary authority, and therefore accountability, of both the mandated representatives of the staff and representatives of the management involved in each such activity, in particular in terms of delegated authority from their respective constituencies or authorities.

143. The project will ascertain best practices and the practical tools that may be required to enable them to carry out their functions promptly and effectively, while not impairing the efficient operation of their organization.

144. It will also assess how much the relevant agreed international texts, such as the Charter of the United Nations, the Universal Declaration of Human Rights and the international norms adopted in respect of labour law, as established in various instruments of ILO, are respected and implemented.

145. The report will result in concrete recommendations for improving the above-mentioned processes and for ensuring that the parties are at a level that is appropriate and that has authority in respect of the issues involved.

---

[10] Mandated by the legislative body of ITU.

[11] Proposed by the United Nations Secretariat and the CEB secretariat.

Corporate partnerships: the role of the Global Compact, best practices and lessons learned

146. Cooperation with the private sector and civil society is considered to be among the best means to advance towards United Nations goals such as the Millennium Development Goals and to enhance organizational performance. Given the serious misunderstanding surrounding the purpose and mandate of the Global Compact, as well as its influence and impact on the implementation of partnerships across the system, the report will examine the role and functioning of the Global Compact initiative, launched in 1999 by the Secretary-General, and of the Foundation for the Global Compact, a non-profit entity incorporated in 2006 under New York State law. It would cover related structures such as the United Nations Foundation, a non-profit/non-United Nations entity established in 1997, and the United Nations Fund for International Partnerships, created by the Secretary-General in 1998 as an autonomous trust fund interfaced between the United Nations and the United Nations Foundation.

147. In this regard, the report will pay particular attention to the "brokering role" of the United Nations among Governments, public organizations and the business community, while addressing critical issues concerning the use of the United Nations image ("bluewashing") by companies that may benefit from a partnership while not being held accountable for conforming to the rules of corporate social responsibility and other core values of the United Nations. Building upon the findings and conclusions of the Unit's note "Corporate sponsoring in the United Nations system: principles and guidelines", the report will pave the way for identifying best practices, lessons learned and challenges ahead, and for recommending system-wide monitoring, reporting, evaluation and coordination procedures or mechanisms based on successful experiences and knowledge-sharing within the United Nations system to ensure effective management, transparency and accountability in the establishment of partnerships.

Selection and conditions of service of executive heads in United Nations system organizations[12]

148. The objective of this project is to undertake an evaluation of the legal and institutional framework and practices for the selection and appointment of the executive heads of the United Nations system organizations, including lessons learned and best practices.

149. Accountability is the cornerstone of results-based management. It requires clear objectives and responsibilities defined at all levels, from top and senior management down to individual staff workplans. In this regard, the rules in the United Nations system organizations are complicated, incoherent and often lack transparency.[13] Since accountability should be applicable at all levels, from the top down, the Joint Inspection Unit merged a proposal in this regard with a suggestion received from the Board of Auditors and included this topic in its programme of work for 2009, with a view to evaluating the various rules and regulations related to the selection and conditions of service of executive heads in the United Nations system organizations.

[12] Combination of a proposal by the Board of Auditors and an internal proposal.

[13] See JIU/REP/2006/6 and Corr.1.

Travel arrangements within the United Nations system[14]

150. Travel represents the largest part of United Nations system organizations' budgets after staff costs. Major changes within the travel industry as well as advances in ICT have opened up new opportunities for organizations to manage and modify existing travel policies and procedures.

151. The main objective of the study is to review existing travel arrangements and consider best practices among United Nations system organizations with a view to improving services and reducing travel costs. There should be efficient management of travel costs and better adherence to travel policies.

Review of management and administration at the United Nations Educational, Scientific and Cultural Organization

152. UNESCO, with its worldwide scope, is one of the largest organizations of the United Nations system. Nine years after a first review of a similar nature, and following several processes of reform undertaken by the organization, this new review is requested following a Joint Inspection Unit internal proposal for a report on a single organization.

153. The report is intended to focus on core issues such as governance, post structure and management systems applied at headquarters and external offices, including delegation of authority and accountability, recruitment, placement and promotion policies, strategic planning, administration monitoring, reporting system and internal and external oversight mechanisms.

Review of management and administration at the World Food Programme

154. According to its mandate, the Unit is to conduct periodic reviews of the management and administration of all participating organizations. In the past few years, the Unit has completed several such reviews. The participating organizations recently reviewed were IMO, WMO and UPU.

155. WFP is the largest humanitarian agency of the United Nations system, providing food aid to nearly 90 million people annually throughout the world. The Unit will, for the first time, review the management and administration of WFP. The review will focus on governance, programme designing and implementation, human resources management, budget and oversight.

Implementation of enterprise risk management in the United Nations system[15]

156. Enterprise risk management is an essential element of good corporate governance and organizational accountability. It requires a systematic and holistic approach to proactively identify, assess, evaluate, prioritize, manage and control risks across the organization so that it can better achieve its objectives. It would help the staff to understand the entire scope of their work, including the potential risks and their impact.

157. It is observed that United Nations system organizations do not have a coordinated and consistent approach in the implementation of enterprise risk

[14] Proposed by IAEA.

[15] Proposed by UNESCO, the Office of Internal Oversight Services, UNFPA and the Advisory Committee on Administrative and Budgetary Questions.

management. Many organizations have been trying to broaden and refine their risk management; however, in general, practices across the system are not consistent, and good practices and lessons learned are not systematically shared.

158. The objective of this review is to assess the implementation of risk management practices across the United Nations system organizations and identify best practices with a view to providing input for improvement.

Environmental policies and practices of the United Nations system[16]

159. Environmental sustainability is one of the Millennium Development Goals adopted by the United Nations Millennium Summit. There is a need to assess contributions of the United Nations system organizations as exemplars of sustainable development practice within the organizations themselves.

160. The objective of the report is to assess the corporate environmental policies and practices of the secretariats of the organizations on the sustainable use of resources, particularly energy consumption, across the United Nations system, bearing in mind their mission to promote internationally accepted environmental conventions. The report will highlight best practices and identify norms and benchmarks of the business policies and measures to be promoted throughout these organizations and their partner entities and organs.

Evaluation function in the United Nations system[17]

161. Evaluation is a vital oversight function not only to measure the degree of achievement of the programmes and activities of the organizations, individual and collectively, but, more importantly, to provide informed analysis, data and advice to be used by their management in the planning, programming and budgeting of future operations.

162. The United Nations organizations are decisively moving to create a results-based management culture and use results-based management as the ideal managerial tool for conducting their operations. In Geneva in April 2005, CEB invited all United Nations organizations to endorse the Joint Inspection Unit benchmarking framework for results-based management and to use it as the chapeau for their respective implementation of results-based management.[18]

163. Since evaluation, in its various forms, is an integral and crucial element for the implementation of any results-based approach, its function, role and placement within the management cycle and its capabilities deserve a sound review to determine to what extent the United Nations organizations, individually and collectively, are equipped and prepared to effectively make full use of the evaluation findings in carrying out their programmes and activities.

164. Therefore, the objective of the report is to assess the overall evaluation capabilities of the individual organizations and the United Nations system as a whole, as well as the function and placement of evaluation within the management structures and processes, with a view to taking stock of the lessons learned, sharing them among the various practitioners, countries and organizations concerned and

[16] Proposed by UNEP, UNESCO and WMO.
[17] Proposed by UNESCO.
[18] See CEB/2005/HLCM/R.6.

offering concrete suggestions to make evaluation a robust oversight and management tool across the United Nations.

Operational arrangements of the United Nations Truce Supervision Organization

165. At the suggestion of a member of the Advisory Committee on Administrative and Budgetary Questions, the Unit has included in its programme of work for 2009 a study looking into the operational efficiency of the United Nations Truce Supervision Organization (UNTSO). The review will focus on administrative support arrangements among UNTSO, the United Nations Interim Force in Lebanon and the United Nations Disengagement Observer Force (Golan Heights), as well as the provision of common services among them. The role of the Economic and Social Commission for Western Asia also will be examined as it pertains to UNTSO.

166. The objective of the study is to provide recommendations leading to possible operational efficiencies in the delivery of services and support among the peace operations in the area.

Annex I

Composition of the Joint Inspection Unit

1. The composition of the Unit for 2008 was as follows (each member's term of office expires on 31 December of the year indicated in parentheses):

Even Fontaine Ortiz (Cuba), Chairman for the period 1 January to 31 December 2008 (2012)

Gérard Biraud (France), Vice-Chairman for the period 1 January to 31 December 2008 (2010)

Nikolay V. Chulkov (Russian Federation) (2012)

Papa Louis Fall (Senegal) (2010)

Tadanori Inomata (Japan) (2009)

Istvan Posta (Hungary) (2010)

Enrique Roman-Morey (Peru) (2012)

Cihan Terzi (Turkey) (2010)

Deborah Wynes (United States of America) (2012)

Mounir Zahran (Egypt) (2012)

Yishan Zhang (China) (2012)

2. In accordance with article 18 of its statute, which provides that each year the Unit shall elect from among its inspectors a Chairperson and Vice-Chairperson, on 15 January 2009 the Unit re-elected Inspector Even Fontaine Ortiz (Cuba) and Inspector Gérard Biraud (France), respectively, for 2009.

Annex II

List of participating organizations and their percentage share in the costs of the Joint Inspection Unit in 2008

United Nations[a]	23.5
World Food Programme	14.2
United Nations Development Programme	21.7
United Nations Population Fund	2.7
United Nations Office for Project Services	0.3
United Nations Children's Fund	10.4
International Labour Organization	2.3
Food and Agriculture Organization of the United Nations	4.2
United Nations Educational, Scientific and Cultural Organization	3.5
International Civil Aviation Organization	1.0
World Health Organization	9.9
Universal Postal Union	0.2
International Telecommunication Union	0.8
World Meteorological Organization	0.4
International Maritime Organization	0.3
World Intellectual Property Organization	1.2
United Nations Industrial Development Organization	1.1
World Tourism Organization	0.1
International Atomic Energy Agency	2.3

Source: CEB/2007/HLCM/22/Rev.2, table 2.

[a] Includes United Nations Secretariat, United Nations Environment Programme, United Nations Conference on Trade and Development, United Nations Human Settlements Programme, International Trade Centre, United Nations Institute for Training and Research, United Nations Relief and Works Agency for Palestine Refugees in the Near East, United Nations Office on Drugs and Crime and Office of the United Nations High Commissioner for Refugees.

Annex III

Joint Inspection Unit strategic framework for 2010-2019

Introduction

1. The Joint Inspection Unit has consistently advocated and promoted the introduction and use of results-based approaches across the organizations of the United Nations system. Its series of reports on results-based management, and in particular the results-based management strategic framework developed by the Unit, have been widely used in reports and notes prepared by the Unit. The General Assembly, by adopting in its resolution 60/257 the report of the Committee for Programme and Coordination[a] and the United Nations System Chief Executives Board for Coordination (CEB)[b] have both endorsed the results-based management strategic framework developed by the Unit; furthermore, they have recommended the use of the approved benchmarking framework as a major tool in the various implementations of results-based approaches by United Nations system organizations.

2. The Unit believes that in order to better serve its stakeholders and to maintain consistency with its own recommendations on results-based management, it should also pioneer its own proposed and approved results-based management benchmarking framework and apply it to its own activities. This initiative will help to develop enhanced evaluation mechanisms, and the subsequent application of lessons learned will also lead to a more transparent and efficient overall management of the Unit.

3. The effective implementation of results-based management can be sustained only through its formalization; this strategic framework is the first attempt to introduce, in a holistic manner, the results-based management principles in the planning of the Unit's activities, including for the long-term, and in programming and budgeting. Like most of the United Nations entities, the Unit started introducing results-based management features in previous biennial budget proposals; however, this is the first time that the Unit has developed a strategy based on results-based management principles, including a long-term perspective. The Unit, through this document, intends to communicate its vision and future direction for the achievement of its major goal, which is to better serve Member States and participating organizations through its recommendations for a more efficient, effective, transparent and coordinated United Nations system.

4. The structure of the proposed strategic framework stems from the Unit's statutory mission and subsequent mandates of the General Assembly, which are translated into objectives and expected accomplishments at different levels, as well as their associated targets, outputs to be delivered and impacts to be measured. It is important to note that results-based management initiatives should be flexible and adapted to the needs of the organization. As stated in the series of reports prepared by the Unit,[c] there is no single road map to results-based management, and each organization has to adapt results-based management to its specificities and mandates.

---

[a] *Official Records of the General Assembly, Sixtieth Session, Supplement No. 16* and corrigendum (A/60/16 and Corr.1).

[b] See CEB/2005/HLCM/R.6.

[c] JIU/REP/2004/5-8.

5. The proposed strategic framework builds, inter alia, upon ideas included in the strategic framework outline for the Unit, contained in its report on the preliminary review of its statute and working methods.[d]

6. This strategic framework reflects the strategy and overall orientation of the Unit, initially from a long-term perspective (10 years) that is further developed and linked to medium-term planning (4 years) and subsequently translated into concrete programming through the successive proposed programme budgets, starting with the Unit's proposal for the biennium 2010-2011. It should be noted that any long-term planning exercise is just a guide pointing to a future direction; however, a dynamic external environment combined, inter alia, with external and sometimes unforeseen factors might require adjustments in the overall strategy to be followed; thus, the present strategic framework should be seen just as a starting point. The Unit's strategy will evolve in a flexible manner according to the needs of the United Nations system. The systematic evaluation of lessons learned from subsequent implementation periods, together with the continuous analysis of stakeholders' needs, should guide and dictate necessary changes in the Unit's future strategy. In a fast-changing environment, flexibility is a must, in particular when looking at the long term in a context of reforms such as those in which the United Nations system is currently immersed.

7. In any results-based management approach, external and unforeseen factors might have a considerable impact on the results achieved by any organization; this is of particular importance when looking at the long and medium term, where the impact of external factors is more difficult to evaluate. In this regard, as mentioned in several papers and stressed by the General Assembly, it should be noted that the impact of the Unit is a "shared responsibility of the Member States, the Unit and the secretariats of the participating organizations".[e] While the Joint Inspection Unit is committed to discharging its responsibility to the fullest, it is essential that other parties concerned discharge theirs.

8. Finally, the present proposed strategic framework intends to bring more accountability and transparency to Joint Inspection Unit operations and facilitate a continuous dialogue between the Unit and its stakeholders. Therefore, the Unit will highly appreciate comments from the legislative organs of its participating organizations, their executive heads and experts and oversight bodies of the United Nations system concerned with budgetary control, investigation, coordination and evaluation, with a view to continuously updating and improving it.

Overall orientation and long-term strategy

9. The Unit considers that a reasonable period for long-term planning is 10 years. Given that this is the first time that the Unit had included a long-term perspective in its strategy and the current fast-changing environment in which the Unit undertakes its activities, it would be unrealistic to set detailed quantitative targets for the long term at this stage. In this document, quantitative targets have been defined for the medium term (four years).

10. The long-term strategy of the Unit is determined, inter alia, by the needs and requests of its major stakeholders. The Unit will focus its future activities on those

[d] A/58/343.

[e] Resolution 50/233, fifth preambular paragraph.

major areas identified through the mandates received from the General Assembly and from the competent legislative organs of those specialized agencies and other international organizations within the United Nations system. The General Assembly, in its resolutions 62/226 and 62/246, requested the Joint Inspection Unit to focus its work on system-wide issues of interest and relevance to the participating organizations and to provide advice on ways to ensure more efficient and effective use of resources in implementing the mandates of the organizations. In this regard, the dialogue established with CEB, the Advisory Committee on Administrative and Budgetary Questions and the secretariats of participating organizations, including the analysis of their specific proposals, has also helped the Unit to identify additional areas of interest for future programmes of work.

Long-term strategic objectives

11. As the only independent external oversight body of the United Nations system mandated to conduct evaluations, inspections and investigations system-wide, its long-term goals are inherent to the fulfilment of its mission and mandate, which are:

(a) To assist the legislative organs of the participating organizations in meeting their governance responsibilities in respect of their oversight function concerning management by the secretariats of human, financial and other resources;

(b) To help improve the efficiency and effectiveness of the respective secretariats in achieving the legislative mandates and the mission objectives established for the organizations;

(c) To promote greater coordination among the organizations of the United Nations system;

(d) To identify best practices, propose benchmarks and facilitate information-sharing throughout the system.

12. The main objective the Unit proposes to meet in the period 2010-2019 is to provide the United Nations system organizations with concrete benchmarks and guidelines so that they can have in place:

(a) Reliable accountability principles and mechanisms, including a system of swift administration of justice;

(b) Cost-effective, compatible, harmonized, standardized, state-of-the-art information and communication systems, which could allow them to automate their administrative, budgetary and programming processes and management operations, with emphasis on the development and implementation of enterprise resource planning system solutions and enterprise risk management;

(c) Harmonized human resources management strategies in the areas of recruitment, placement and promotion; performance management; contractual arrangements; rewarding performance; administration of justice; and staff-management relations;

(d) Harmonized and cost-effective procurement and outsourcing services;

(e) Strong audit, inspection, evaluation, compliance and investigation capabilities;

(f) Common, reliable, compatible security and safety arrangements;

(g) Coherent and integrated operations at the headquarters, regional, subregional and country levels to ensure acceptance of the "Delivering as one" initiative;

(h) Systematic implementation of accepted principles and benchmarks of results-based management.

13. The above list is indicative, and new items might be added to reflect new areas of interest of Member States and participating organizations. The Unit invites stakeholders to submit their views, comments and concrete proposals through the existing channels.

Medium-term planning (2010-2013)

14. Once the overall long-term priority objectives are identified, the Unit's expected accomplishments, which contribute to the achievement of those long-term priority objectives, are defined. The expected accomplishments constitute the critical results to be accomplished and assessed by the Unit over the periods of time covered by its strategic framework. In this regard, an alignment of its medium-term planning and short-term programme with its long-term goals is necessary.

15. The Unit considers that a reasonable medium-term period would cover four years, while the biennial period covered by the proposed programme budget is considered short-term. In order to contribute to the achievement of its long-term objectives defined above, the Unit's medium-term planning is based on the following major components: (a) self-evaluation and/or peer review of the Unit's activities; (b) the development of annual programmes of work focused on system-wide issues and related to the long-term strategic areas; (c) the strengthening of the follow-up system for the implementation of recommendations; (d) the systematic review of all participating organizations; and (e) the continuous development of the capabilities of the research staff of the Unit's secretariat. These components are described below.

Self-evaluation

16. The Unit undertook its first self-evaluation exercise during 2008. It was done from a holistic perspective with the objective of better understanding stakeholders' perception of how the Unit is undertaking its activities and progressing towards the fulfilment of its mission. The Unit plans to use self-evaluation data and performance-related information for purposes of subsequent planning, accountability, learning and decision-making. The initial self-evaluation will be supplemented by a peer review of the Unit's activities to be undertaken during the medium-term period.

Annual programmes of work

17. The medium-term strategy is implemented through successive programmes of work for the period 2010 to 2013. The Unit considers that in order to meet client needs, its annual programmes of work should focus on the long-term strategic areas from a system-wide perspective, in accordance with the requests made by the General Assembly. Specific mandates received from the competent legislative organs of the participating organizations of the United Nations system might have an impact on a given annual programme of work; however, the activities undertaken by the Unit, in the medium term, should show progress towards its overall objective.

18. The systematic review of all participating organizations and the finalization of all the undertakings included in the current roster of subjects to be reviewed are major priorities that will have an impact on future programmes of work. In addition to these two components, the programmes of work for the medium-term period will be supplemented by new proposals received from stakeholders or decided by the Unit itself. The Unit will determine the final programme of work for each year at its winter sessions.

Follow-up system

19. The General Assembly, in its resolutions 60/258 and 62/246, invited the Joint Inspection Unit to report on experience in the implementation of the follow-up system by the participating organizations, and requested the Unit to strengthen the follow-up on the implementation of its recommendations. The enhancement of the Unit's follow-up system is one of the strategic areas for the Unit, since an effective and efficient follow-up system is fundamental for achieving the intended impact of its oversight activities.

20. In order to strengthen the follow-up of its recommendations, the Unit plans, in the medium term, to offer a more efficient solution. This will require the development of new processes and tools, such as a new web-based information system intended to facilitate access to relevant information and the proactive sharing of knowledge among Member States, secretariats of participating organizations and the Unit. The implementation of a more efficient follow-up system is a medium-term commitment of the Unit, which includes concrete, related expected achievements, as set out below. Furthermore, the Unit has included in its proposed programme budget for 2010-2011 the first elements for the future development of the necessary tools required for an enhanced follow-up system.

Systematic review of all participating organizations

21. Article 5, paragraph 3, of the Unit's statute provides that "The Unit shall satisfy itself that the activities undertaken by the organizations are carried out in the most economical manner and that the optimum use is made of resources available for carrying out these activities". Therefore, another important new component of the medium-term planning of the Unit is the periodic and systematic review of the administration and management of participating organizations. The Unit plans to continue undertaking systematic reviews of the management and administration of the participating organizations. In the past, the Unit has completed several reviews of the management and administration of certain participating organizations; however, the selection of organizations, the number of reviews undertaken, their timing and the methodology used were not systematic, based mainly on specific mandates, personal initiatives, short-term needs and the amount of resources available at a given time.

22. The Unit believes that a more systemic approach should be applied, and plans to conduct reviews of management and administration, initially of those entities that have not yet been fully reviewed; subsequently organizations that have already been reviewed will follow in a cyclical order, starting with those reviewed earlier and with the target of reviewing each of them at least once every five years. The table indicates dates when participating organizations were last reviewed.

23. This initiative will not only enhance the Unit's knowledge of the participating organizations, allowing it to fulfil one of the major components of its mission, which is to identify and disseminate best practices across the system, but will also contribute to a better follow-up of the recommendations made by the Unit, as requested by the General Assembly.

Organization	*Year last review was completed*	*Remarks*
UN	—	A full review has not yet been conducted
UNICEF	—	A full review has not yet been conducted
UNCTAD	—	Partially reviewed in 1996. A full review has not yet been conducted
UNDP	—	A full review has not yet been conducted
UNEP	—	A full review has not yet been conducted
UNHCR	2004	A full review has not yet been conducted
UN-Habitat	—	A full review has not yet been conducted
UNOPS	—	Partially reviewed in 1998. A full review has not yet been conducted
UNODC	—	A full review has not yet been conducted
UNFPA	—	A full review has not yet been conducted
WFP	—	Review included in programme of work to be undertaken in 2009
UNRWA	—	A full review has not yet been conducted
FAO	2002	JIU/REP/2002/8
IAEA	—	A full review has not yet been conducted
ICAO	2007	JIU/REP/2007/5
ILO	1999	JIU/REP/99/4
IMO	2007	JIU/REP/2007/7
ITU	2001	JIU/REP/2001/3
UNESCO	2000	Review included in programme of work to be undertaken in 2009
UNIDO	2003	JIU/REP/2003/1
UPU	2008	JIU/REP/2008/1
WHO	2001	JIU/REP/2001/5
WIPO	—	Partially reviewed in 2005. A full review has not yet been done
WMO	2007	JIU/REP/2007/11
UNWTO	2009	Review currently being undertaken, to be finalized in 2009

Development of staff capabilities

24. The Unit deals with very diverse subjects, as reflected in its strategic areas of activity, ranging from information technology to financial or human resources management-related issues. Furthermore, sometimes the mandates received require the use of very specialized resources. In this regard, the Unit, which obviously has a very limited number of staff, needs to have access to the required knowledge, and this can occur only through an appropriate combination of competent internal resources and the use of external and individual contractors when needed. It should be noted that the number of research staff available within the Unit is very limited and that additional staff development, through appropriate training, is a must for the Unit to be able to deliver quality products. In this regard, the development of staff skills through adequate external and/or internal training programmes is a key component of the medium-term strategy.

Expected accomplishments in the medium term

25. The expected accomplishments are:

(a) To strengthen the system of follow-up on the implementation of recommendations;

(b) To review systematically the management and administration of participating organizations;

(c) To develop programmes of work focused on system-wide issues and consistent with strategic priority areas;

(d) To undergo a peer review of the Unit's activities;

(e) To enhance research-staff capabilities through appropriate training programmes in relevant areas of interest to the Unit.

Indicators of achievement for the medium term

26. Results-based management requires the selection of appropriate indicators to measure progress towards each expected accomplishment, the setting of explicit targets for each indicator to judge performance, the regular collection of data on results to monitor performance and reviewing, analysing and reporting on actual results vis-à-vis the targets. The Unit plans to collect relevant data on an annual basis.

27. The indicators of achievement below are associated with the expected accomplishments above; the letter of the indicator corresponds to the letter of the associated expected accomplishment in paragraph 25 above:

(a) (i) Number of reviews of management and administration of participating organizations

Associated target: All participating organizations reviewed at least once every five years[f]

[f] This indicator is considered relevant for expected accomplishments (a) and (b).

(a) (ii) New web-based information system for follow-up on recommendations in place

Associated target: New system for legislative organs and secretariats available and fully operational by 2011

(b) (i) Number of reviews of management and administration of participating organizations

Associated target: All participating organizations reviewed at least once every five years

(b) (ii) Rate of acceptance of recommendations by the participating organizations

Associated target: Percentage of acceptance of recommendations in the medium-term period should not be less than 50 per cent

(c) (i) Balanced number of reports related to each of the defined strategic areas

Associated target: Reports produced by the Unit on each strategic area should be in the range of 10 to 15 per cent of the total number of reports produced in the period

(c) (ii) Percentage of system-wide reports or reports on several organizations issued during the period

Associated target: Should be higher than 50 per cent of the total number of reports produced in the period

(c) (iii) Rate of acceptance by participating organizations of recommendations included in system-wide reports issued during the period

Associated target: Should be higher than 50 per cent

(d) A peer review exercise conducted in the period

Associated target: The Unit undergoes at least one peer review in the medium term (2010-2013)

(e) Steady development of customized training programmes for research staff

Associated target: All research staff having individual training plans in place at all times and at least 10 days of relevant training per year

Short-term programming

28. Short-term programming and short-term performance reporting are not part of this framework. For this purpose the Unit will continue using its annual programme of work and related performance reports.

29. It should be noted that the Unit is making every effort to link its medium-term planning, including expected accomplishments and associated targets, to its short-term activities. This is done through the cascading of meaningful and linked objectives at different levels down to the individual level, to be reflected in staff performance appraisals.

Resources

30. The implementation of the above long- and medium-term strategy requires, inter alia, the availability of commensurate resources, both human and financial. Given that the United Nations allocates resources on a biennial basis, the Unit assumes that the resources necessary for the implementation of its long- and medium-term strategy will be made available in due time. In particular, it is fundamental to ensure coherence and compatibility between budgeting and programming decisions (e.g., any budget cuts should correspond to specific identified programme cuts). Therefore, the Unit's resources should be aligned with its long-term objectives. This issue is reflected in the Unit's series of reports on results-based management.

31. From now on, thanks to a serious time-tracking system and the use of yardsticks, which translate each step of the preparation of a report or note into the number of working days required, the budgetary requests, practically unchanged since the establishment of the Joint Inspection Unit, contrary to the volume of auditable activities of the participating organizations, will be solidly based on the proposed level of outputs to be produced by the Unit, allowing the General Assembly to decide on the appropriate level of outputs it expects from the Unit.

32. In order to start the implementation of its strategy, the Unit has already introduced new resource requirements in its proposed programme budget for 2010-2011, targeting an increase of 8.9 per cent in the amount of resources requested and of 45 per cent in the number of outputs. Any changes in the level of the requested resources would have an inevitable impact on the implementation of planned activities, forcing the Unit to reconsider and adjust its overall strategy, in particular the targets associated with expected accomplishments, which might not be achievable if commensurate resources are not available.

33. The High-level Panel on United Nations System-wide Coherence indicated that evaluation is one of the major drivers for system-wide coherence and recommended that a United Nations common evaluation system be established to promote transparency and accountability. In response, the United Nations Evaluation Group has proposed to create a new United Nations system-wide independent evaluation unit. While sharing the concern expressed, the Joint Inspection Unit has pointed out that this proposal leads to unnecessary duplication of its mandate, functions and structure and has expressed its willingness to expand its coverage to satisfy the United Nations system evaluation needs at a much lower cost.[8] The Unit has reiterated that it possesses the required mandate, independence, credibility and experience to meet the system-wide evaluation needs; however, the resources allocated to the Unit do not allow it to properly discharge this function. In an attempt to fill the gap, the Unit has requested an increase of resources in its 2010-2011 proposed programme budget, in an amount sufficient to exercise its system-wide evaluation responsibilities at a considerably lower cost than the one foreseen by the Evaluation Group.

---

[8] According to CEB/2008/HLCM/19, the estimated core staff, programme and initial installation costs and 10 per cent contingency funding for this establishment phase would be an estimated $4,500,000 for a biennium.

09-21733 (E) 170209